

# OCERA THERAPEUTICS, INC.

## **FORM 8-K** (Current report filing)

Filed 06/22/17 for the Period Ending 06/20/17

Address	555 TWIN DOLPHIN DRIVE SUITE 615 REDWOOD CITY, CA 94065
Telephone	6504750158
CIK	0001274644
Symbol	OCRX
SIC Code	2834 - Pharmaceutical Preparations
Industry	Pharmaceuticals
Sector	Healthcare
Fiscal Year	12/31

**UNITED STATES SECURITIES AND EXCHANGE  
COMMISSION**  
WASHINGTON, D.C. 20549

**FORM 8-K**

**CURRENT REPORT**

**Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934**

Date of Report (Date of Earliest Event Reported): **June 20, 2017**

**OCERA THERAPEUTICS, INC.**

(Exact name of registrant as specified in its charter)

**DELAWARE**

(State or other jurisdiction  
of incorporation)

**001-35119**

(Commission File Number)

**63-1192270**

(I.R.S. Employer  
Identification No.)

**555 Twin Dolphin Drive, Suite 615  
Redwood City, CA**

(Address of principal executive offices)

**94065**

(Zip Code)

Registrant's telephone number, including area code **(650) 475-0158**

**Not applicable**

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

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**Item 5.07 Submission of Matters to a Vote of Security Holders.**

On June 20, 2017, Ocera Therapeutics, Inc. (the “Company”) held the 2017 Annual Meeting of Stockholders (the “Annual Meeting”). A total of 19,845,322 shares of the Company’s common stock were present or represented by proxy at the Annual Meeting. At the Annual Meeting, the stockholders voted on the following three proposals and cast their votes as described below.

**Proposal 1.** The individuals listed below were elected at the Annual Meeting to serve until the annual meeting of stockholders in 2018 and until their respective successors are duly elected and qualified or until their earlier resignation or removal.

	<b>FOR</b>	<b>WITHHELD</b>	<b>BROKER NON-VOTES</b>
Eckard Weber, M.D.	8,727,395	91,449	11,026,478
Linda S. Grais, M.D.	8,721,704	97,140	11,026,478
Steven P. James	8,731,966	86,878	11,026,478
Nina Kjellson	8,731,706	87,138	11,026,478
Willard Dere, M.D.	8,731,786	87,058	11,026,478
Anne VanLent	8,737,051	81,793	11,026,478
Wendell Wierenga, Ph.D.	8,731,369	87,475	11,026,478

**Proposal 2.** The Company’s stockholders approved the non-binding, advisory resolution on the executive compensation of the Company’s named executive officers.

<b>FOR</b>	<b>AGAINST</b>	<b>ABSTAIN</b>	<b>BROKER NON-VOTES</b>
8,534,322	248,076	36,446	11,026,478

**Proposal 3.** The Company’s stockholders ratified the selection of Ernst & Young LLP as the Company’s independent registered public accounting firm for the year ending December 31, 2017.

<b>FOR</b>	<b>AGAINST</b>	<b>ABSTAIN</b>
19,702,615	104,976	37,731

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